



Urban Construction Initiative Certification Program Update

Presentation at the UCI Annual Meeting
November 17th, 2011

Todd Halacy, PE
VDOT – LAD

David Jarman, PE
City of Virginia Beach

The Urban Construction Initiative



Urban Construction Initiative – Certification for VA Beach



- VDOT Update:
 - Brief Overview of July Discussion
 - Certification Document Scoring/ Results
 - Presentation – Certification Panel Interview
 - VDOT Next Steps
- Virginia Beach Update:
 - Schedule
 - Brief Overview of July Discussion
 - Certification Document Preparation/ Findings
 - Panel Interview
 - VA Beach Next Steps
- What Does this mean? (Next Steps)

VDOT – Brief Overview of July Discussion

- Meetings with Various Central Office Divisions
- Field Meetings with Districts
- Challenges & Opportunities
- Lessons Learned:
 - Continued communication with affected divisions is important
 - Meet in person with District and Division staff
 - Anticipate questions to try and resolve before becoming issues
 - Don't assume that everyone understands the differences of the UCI Certification program vs the UCI Program

VDOT – Certification Scoring



- Application must demonstrate: (13 total project & program areas)
 - Program delivery systems
 - Fiscal, Audit & Budget Systems\Civil Rights\ QA/QC processes\Public input process\ Consultant Procurement\ Cost & Schedule Controls
 - Project delivery processes
 - PE\NEPA\Right-of-Way\Sole Source Procurement\ Construction Authorization\Contract Award\ Final Inspection & Acceptance
 - Organization structure to support the processes
 - Experience

VDOT - Certification Evaluation/Response



- VDOT Evaluation Panel
 - LAD Director, Home District Administrator, Independent District Administrator
- Intermediate Review
 - Determines that each component is either “Demonstrated” or “Non-Demonstrated”
- Response back to locality
 - Identifies components that were identified as “Non-Demonstrated”, provides locality the opportunity to provide additional information in their presentation/interview

VDOT - Certification Evaluation/Response (Continued)



- City of VA Beach submitted detailed application on June 30th, 2011
- LAD met with both Districts prior to scoring
- Panel found 8 of 13 areas to be non-demonstrated.
- LAD provided results back to the City and requested a Panel Interview to give the City an opportunity to address the non-demonstrated areas.

Presentation-Certification/ Panel Interview

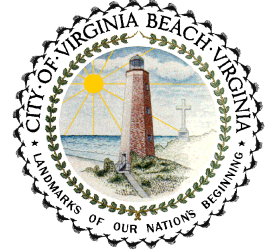
- Presentation – Interview
 - opportunity to provide new information that addresses ‘non-demonstrated’ areas from the Intermediate Review and for the panel to ask any questions
- Panel Recommendation
 - a consensus determination on whether the ‘non-demonstrated’ areas have been addressed
 - LAD Director provides panel’s recommendation to the VDOT Chief Engineer
- VDOT Chief Engineer makes final decision

Presentation-Certification Interview/Results (Continued)



- City of VA Beach interview held on October 13th, 2011 in Hampton Roads
- City presentation focused on the 8 areas that were non-demonstrated
- Panel consensus and recommendation to Chief Engineer to certify VA Beach
- Chief Engineer concurs with recommendation

VDOT – Panel Interview/ Hearing Format



- The agenda for the VA Beach Panel Interview was as follows:
 - **10:00am Begin Panel Hearing** – Introductions/Welcome
 - **10:05am City of Virginia Beach Presentation**
(the City will have 2+/- hours to present information and to field questions from the panel)
 - **12:00pm Break for Lunch & Panel Deliberation**
 - **1:30pm City of Virginia Beach Returns for Conclusion/ Wrap-up**
(the City will be afforded the opportunity to address the panel after lunch to answer any follow-up questions)
 - **2:30/3:00pm Panel Hearing Concludes**
- The panel was afforded the opportunity to ask the City questions during the morning presentation including additional time after lunch.
- The City had handouts for the meeting and was instructed to revise their submission book within 2 weeks after the meeting.

UCI Certification Next Steps for VDOT:

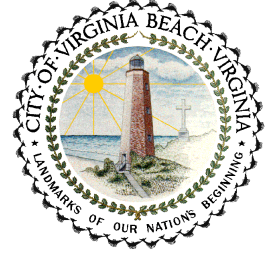


- Communication Plan
 - Official Response to City
 - Press Release
- Impact of UCI Certification Results
 - Very Visible Program
 - Major Milestone for LAP's and UCI Program
- Next Steps:
 - Transition Process
 - Continued Discussions with various Division (i.e. Civil Rights, Environmental)
 - Compliance Program
 - Project Level Annual Performance Review (1 project minimum, with 3 maximum)
 - Re-Certification (focused on all key areas, 2 years after initial cert, every 5 years thereafter)
 - Program Wide Review (random intervals, entire program, arbitrary spot checks)

VA Beach – Brief Overview of July Discussion

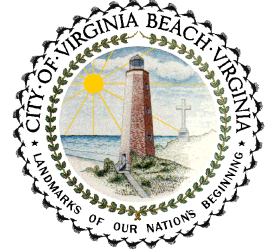
- Management and Department Briefings
 - What does UCI Certification mean for the City
 - City's original game plan
- Challenges & Opportunities
- Lessons Learned
 - Get Buy-In Early
 - New Initiatives
 - Educate VDOT and City Stakeholders
 - Examine Potential Risks
 - Develop Plan for Documentation

VA Beach - Schedule



- Brief Deputy City Manager September 2010
- MLT (Mgt Leadership Team) Briefing October 2010
- Brief Other Divisions/Depts October 2010
- Submit Letter of Intent to VDOT February 2011
- VDOT Response March 2011
- Submit Application June 2011
- VDOT Response *August 2011*
- Interview *October 2011*
- RECEIVE CERTIFICATION ***November 2011***

Preparing the Certification Document



- Process Review
 - How does the City currently do business?
 - What processes are already documented?
 - What processes need to be documented?
- Areas of concern
 - Civil Rights
 - Pre-Award Evaluation
 - NEPA

Preparing the Certification Document



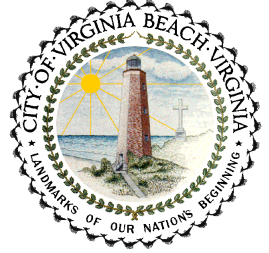
- Challenges
 - Helping other City departments understand the objectives
 - VDOT vs. City nomenclature
 - Organization of the document
 - How much detail?

Certification Document Findings



- Results (August 29, 2011 letter from VDOT)
 - 13 component areas were reviewed
 - 5 areas noted as demonstrated
 - Fiscal, Audit, & Budget, Consultant Procurement, Preliminary Engineering/Authorization, Right-of-Way, Sole Source or Proprietary Equipment
 - 4 areas received mixed ratings
 - Internal QA/QC, Public Outreach, Project Controls for Cost/Schedule, Final Inspection/Acceptance
 - 4 areas non-demonstrated by all 3 panel members
 - Civil Rights, NEPA, Construction Authorization, Award of Construction Contract

Certification Document Findings



- Results (con't)
 - City's first reaction
 - Humbling to say the least
 - First glance was frustrating
 - Detailed review...not as bad as it seemed
 - Common themes
 - Omissions
 - Clarification of processes and procedures

Certification Document Findings



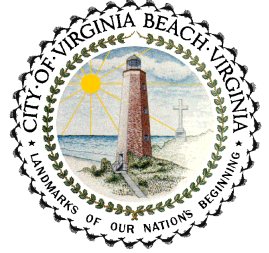
- Results (con't)
 - Common themes
 - More detail
 - Independent checks & balances
 - NEPA
 - Omissions
 - VE Process for design and construction
 - Testing certifications for City Inspectors AND materials testing consultants
 - Advertisement, bid review, and contract award process

Certification Document Findings



- Results (con't)
 - Clarification of processes and procedures
 - NEPA
 - More details and assurances that the City can manage this process
 - Civil Rights
 - More details in the City's transition plan to take over this role
 - Federal Strategy
 - More details regarding tracking and managing the federal strategy projects

Certification Document Findings



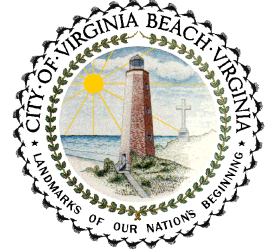
- Results (con't)
 - Clarification of processes and procedures
 - Public Outreach
 - More details about Communications Plan for TMP
 - Final Inspection/Acceptance
 - Explain how City process can provide independent checks and balances with City staff
 - PS&E Review
 - Explain City process for dealing with final PS&E review

Certification Interview



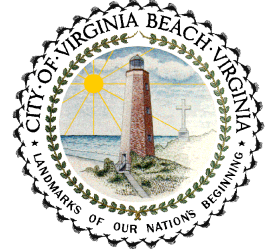
- Objectives
 - Focus on VDOT concerns
 - NEPA—new process
 - Civil Rights—new staff and processes
 - Federal Strategy—tracking schedules & costs
 - Clarify omissions
 - Discuss our recent “challenges”
 - Meeting federal strategy
 - NEPA shortcomings

Certification Interview



- Objectives (con't)
 - Emphasize upcoming documentation updates
 - NEPA procedures guide
 - Project Management Manual update
 - Project Inspections Manual
 - Emphasize
 - Ability to deliver projects/recent successes
 - Understanding of processes
 - Relationship with VDOT and knowing when to seek help

Certification Interview



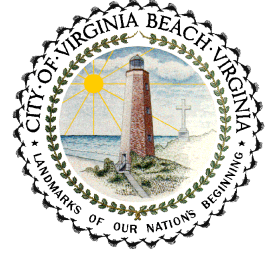
- Outcomes
 - Good dialogue with panel members
 - Open conversation about City strengths and weaknesses
 - Opportunity to clarify concerns and discuss lessons learned
 - Some follow up items
 - How do we handle transportation grants secured by other groups within the City (Ops, P&R)?

UCI Certification



- Next Steps – VA Beach
 - Internal documentation for processes and checklists
 - Figuring out what UCI Certification really means for City and VDOT
 - Continue working with LAD to improve processes and procedures
 - Clarifying commitments made with City project delivery staff
 - Celebrate a little!

What does this Mean?



- UCI still the “cutting edge” of local programs
- UCI Workgroup provides a vital sounding board in the development of tools and resources to ensure local program success
- UCI Certification remains a priority and the ultimate implementation of the “risk based approach”

Questions?



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